

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

JG10 Rec'd PCT/PTO 19 DEC 2001

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/019337

INTERNATIONAL APPLICATION NO.

PCT/EP00/04918

INTERNATIONAL FILING DATE

May 26, 2000

PRIORITY DATE CLAIMED

June 29, 1999

TITLE OF INVENTION

NEUROTROPHIC FACTOR RECEPTOR

APPLICANT(S) FOR DO/EO/US :

Masure, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Copy of the Internal Preliminary Examination Report; Copy of the International Search Report; Sequence Disk; Sequence Listing; Informal drawings, Version to Show Changes Made.

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17. ☒ The following fees are submitted:  
 BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)  
 nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
 and International Search Report not prepared by the EPO or JPO.....\$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to  
 USPTO but International Search Report prepared by the EPO or JPO.....\$890.00

International preliminary examination fee (37 CFR 1.482) not paid to  
 USPTO but international search fee (37 CFR 1.455(a)(2)) paid to USPTO..... \$740.00

International preliminary examination fee (37 CFR 1.482) paid to  
 USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$750.00

International preliminary examination fee (37 CFR 1.482) paid to  
 USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
 months from the earliest claimed priority date (37 CFR 1.492(e)).

| CLAIMS                                      | NUMBER FILED | NUMBER EXTRA | RATE       |           |  |
|---|--------------|--------------|------------|-----------|--|
| Total claims                                | 41 - 20 =    | 21           | x \$18.00  | \$ 378.00 |  |
| Independent claims                          | 27 - 3 =     | 24           | x \$84.00  | \$2016.00 |  |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) |              |              | + \$280.00 | \$        |  |

TOTAL OF ABOVE CALCULATIONS = \$2394.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement  
 must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
 months from the earliest claimed priority date (37 CFR 1.492(f)).

TOTAL NATIONAL FEE =

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
 accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

TOTAL FEES ENCLOSED = \$3474.00

|                        |           |
|------------------------|-----------|
| Amount to be refunded: | \$        |
| charged:               | \$3474.00 |

- a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 10-0750/JAB1512/MHM in the amount of \$3,474.00 to cover the above fees.  
 A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 10-0750/JAB1512/MHM. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Philip S. Johnson, Esq.  
 Johnson & Johnson  
 One Johnson & Johnson Plaza  
 New Brunswick, NJ 08933-7003  
 USA

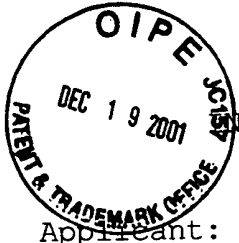
Signature

Myra H. McCormack  
 Reg. No. 36,602  
 Attorney for Applicants

CALCULATIONS PTO USE ONLY

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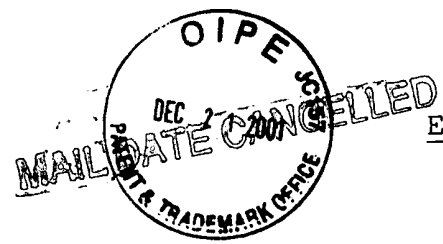


DOCKET NO. JAB-1512  
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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

For : NEUROTROPHIC FACTOR RECEPTOR



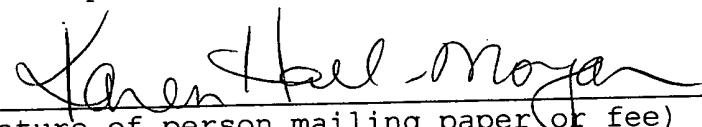
Express Mail Certificate

"Express Mail" mailing number: EF195553101US

Date of Deposit: December 20, 2001

I hereby certify that this complete application, including 58 specification pages, 41 claims, informal drawings, Declaration and Power of Attorney, Assignment, preliminary amendment and version to show changes made, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Karen Hall-Morgan  
(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)